

**NOTICE: AMENDMENTS MAY BE ISSUED TO THIS SOLICITATION AT ANY TIME. IT IS THE RESPONSIBILITY OF THE SUPPLIER TO ROUTINELY CHECK THE STATE PROCUREMENT WEBSITE FOR SOLICITATION AMENDMENTS.**

<http://www.azspo.az.gov/SolicitationInfo/index.htm>

## **1. Amendment**

The Solicitation is hereby amended as follows.

- 1.1. Cover Page: the amended cover page is attached; the following sections have been amended: "OFFER DUE DATE AND TIME": The offer due date is amended to read December 21, 2007. "PRE-OFFER CONFERENCE": changes were made to reconcile to Amendment #1.
- 1.2. SCOPE OF WORK: The complete Scope of work as corrected/amended is attached. In any instance where the description of changes below varies with the content in the attached amendment, the attached amendment shall prevail and should be followed.
  - 1.2.1. Section 2.3.1, corrected typographical errors in the first numerical subsections - 1 through 4.
  - 1.2.2. Section 3.0, first bullet – corrected typographical errors.
  - 1.2.3. Section 3.1, added information to clarify the Contractor's responsibility to package, move the servers, and the building conditions at locations specified.
  - 1.2.4. Section 3.2, added an additional bullet and modified the last paragraph.
  - 1.2.5. Section 3.2.2, deleted one of the bulleted items (third from the bottom).
  - 1.2.6. Section 3.2.3, Table 1, modifications made to the "Connectivity" column.
  - 1.2.7. Section 3.2.3, bullets two and three below the table were modified, in addition to typographical errors corrected.
  - 1.2.8. Inserted a new section at 3.2.4, "Database Management", the rest of the section numbers rolled in sequence.
  - 1.2.9. Section 3.2.4, "Capacity Management" (revised to read section 3.2.5), added a sentence to the end of the section.
  - 1.2.10. Section 3.2.6, "Change Management" (revised to read section 3.2.7), added two sentences to the end of the section.
  - 1.2.11. Section 3.2.7, "Backup Processing and Practices" (revised to read section 3.2.8), modified the sentence.
  - 1.2.12. Section 3.2.8, "Technical Support/Problem Management" (revised to read section 3.2.9), deleted the last sentence and added text.

- 1.2.13. Section 3.2.9, "Security & Confidentiality" (revised to read section 3.2.10), deleted a sentence regarding encryption.
  - 1.2.14. Section 3.2.10, "Disaster Recovery" (revised to read section 3.2.11), added a sentence to the end of the paragraph.
  - 1.2.15. Section 4.0, "Service Levels", made changes to the chart for "Hardware Maintenance Required", "Redundant Power Supplies" and "San Storage".
  - 1.2.16. Appendix A, replaced the complete "Table 2" with a new table.
  - 1.2.17. Appendix 3, "Table 3", deleted four rows.
  - 1.2.18. Appendix B, revised and completely replaced the "Current State Network Map".
  - 1.2.19. Appendix C, section C.2.1, subsection "Target", corrected spelling for the word "standards".
  - 1.2.20. Appendix C, section C.2.2, subsection "Definition", added a "Note" to end of the section.
  - 1.2.21. Appendix C, section 2.2.2, "Performance Indicator" section, deleted the last bullet.
  - 1.2.22. Appendix C, Section 2.2.2, changed "System Software/Hardware" to read "Operating System Software", and modified the last sentence in this section.
  - 1.2.23. Appendix C, section C.2.4, subsection "Definition", added a bullet.
  - 1.2.24. Appendix C, section C.2.4, subsection "Service Goals" made changes to the number of hours, deleted the time period in parentheses, and added a "Database" section.
  - 1.2.25. Appendix C, section C.2.6, changes made to the "Definition" subsection, added an "Ex-Post Facto Change" section, and modified the "Service Goals" subsection, fourth paragraph, third sentence.
  - 1.2.26. Appendix C, section C.2.7, subsection "Service Goals", information is added.
  - 1.2.27. Appendix C, Section C.2.8, subsection "service Goals", a "Note" is added under the two bullets.
- 1.3. KEY PERSONNEL: The "Key Personnel" definition for the Scope of Work, Special Instructions, and Special Terms and Conditions is amended to add specific staff positions. The revised sections as amended read:
- "Key Personnel" means persons whose experience and knowledge is professional in nature as opposed to clerical. Professional work is that which is predominantly intellectual and varied in character (as opposed to routine, manual, mechanical or physical) and involves the consistent exercise of discretion and judgment in the theoretical principles and techniques of a

recognized field of science or learning. At a minimum the following shall be considered "Key Personnel":

The Account Manager  
The Database Manager  
The Network Manager  
The Server Team Manager

- 1.4. SPECIAL TERMS AND CONDITIONS; Section 12, "Transition" is amended to add: "allowing physical access to the servers for inspection, packing, and removal;" The revised section as amended reads:

"12 TRANSITION

When the Contract Term ends or in the event the Contract is terminated with or without cause, the Contractor, whenever determined appropriate by the ADOR, shall assist the ADOR, or any entity ADOR designates, in the transition of services to other Contractors or the State. Such assistance and coordination shall include but not be limited to: allowing physical access to the servers for inspection, packing, and removal; the forwarding of Contract works, equipment, electronic files and other records as may be necessary and to assure the smoothest possible transition and continuity of services. The cost of reproducing and forwarding records shall be borne by the Contractor. The Contractor must make provisions for continuing all performance under this Contract, to include management/ administrative services until the transition of services is complete and all other requirements of this Contract are satisfied."

- 1.5. SPECIAL INSTRUCTIONS; sections 12, 15.1, 16.2, 17, and 21.2 are amended as indicated below:

- 1.5.1. Section 12, "Offer", is amended to add: "and four (4) compact discs (CDs)" of the offer should be submitted. The revised section as amended reads:

"12 OFFER

The following information should be submitted with each copy of the Offer in sequential order with the first section listed below on top. The Offeror should submit a table of contents and the Offer should be page numbered. When preparing a response to a specific section of these Special Instructions or the Scope of Work the Offeror should repeat the numeric section and title reference, if any. Failure to include the requested information may result in the Offer being rejected. One (1) paper original, six (6) paper copies, and four (4) compact discs (CDs) should be submitted. The original copy of the Offer shall be clearly labeled "ORIGINAL". The following is a list of the Offer submission sections:"

- 1.5.2. Section 15.1, is amended to provide that contemplated substitutions or exceptions should be submitted not less than ten (10) days before the offer due date. The revised section as amended reads:
- “15.1 Offerors or vendors (the term “vendor” as used throughout this section is defined as not yet having submitted an Offer) may propose substitutions or exceptions to the Solicitation. Offerors should carefully consider that substitutions or exceptions may result in rejection of the Offer. Vendors may submit contemplated substitutions or exceptions before the Offer due date and vendors are encouraged to submit them, if any, not less than ten (10) days before the Offer due date. Contemplated substitutions or exceptions will permit the State to consider them related to the potential impact to the solicitation and determine if a solicitation amendment is necessary. The State may not issue a written determination of acceptance or solicitation amendment of a contemplated exception or substitution prior to the Offer due date; in that event, a potential Offeror must consider that the exception or substitution has not been accepted by the State. The State is not obligated to negotiate exceptions or substitutions and the State is not obligated to respond to a request to consider substitutions or exceptions prior to the Offer due date.”
- 1.5.3. Section 16.2, is amended to have the Offeror provide addresses for the primary data center and disaster recovery location. The revised section as amended reads:
- “16.2 The proposed data center(s) to be used to provide the services requested in this RFP will be located within Arizona. Data centers used for the provision of Disaster Recovery services requested in this RFP are not restricted by this requirement. The Offeror should provide addresses of the proposed site locations for the data centers, both primary and Disaster Recovery. The Offeror agrees to meet or exceed all security requirements mandated by the State of Arizona, ADOR, and Federal Agencies.”
- 1.5.4. Section 17, “PRICE SCHEDULE” is amended to add an additional price component. The revised section as amended reads:
- “17 PRICE SCHEDULE  
Offerors should provide prices for the following six (6) service components on the Price Schedule (Attachment #2):
1. Move the production servers from the AT&T and ADOR facilities to the Offeror’s facilities and bring the servers online for operation. This is a one-time payment.
  2. “Silver” service level; price is per server, per month.
  3. “Gold” service level; price is per server, per month.

4. "Platinum" service level; price is per server, per month.
5. Task assignments; price per hour of staff time.
6. Connectivity Rates; price per month."

- 1.5.5. Section 21.2 is amended to make it clear that all sections and sub-sections included in 22 through 31 should be responded to in the offeror's method of approach as submitted with the offer. The revised section as amended reads:

"21.2 The Offeror's response should start by REPEATING (retyping) the section reference number as it appears in the RFP (e.g., 5.2), and the section/subsection heading (if there is one). Offerors should respond to all issues in the sections and sub-sections below (numbers 22 through 31) and explain how the proposed approach will solve, manage, or execute the concern or issue."

- 1.6. PRICE SCHEDULE: The revised Price Schedule, Attachment 2, as amended is attached.
- 1.7. The Pre-Offer Conference sign in sheets are attached as Exhibit #1.
- 1.8. Pictures of the current data centers are added to this amendment. The instructions for access to the pictures are provided in the attached Scope of Work, section 3.1.

## 2. Acknowledgement

Offerors shall include a signed copy of this Solicitation Amendment with their Offer in response to this Solicitation. Failure to submit a signed copy of this Solicitation Amendment may cause the Offer to be determined as being non-responsive and result in its rejection.

<b>All other instructions, terms and conditions remain unchanged.</b>	
Offeror hereby acknowledges receipt and understanding of the Solicitation Amendment	The Solicitation Amendment is executed this <u>30<sup>th</sup></u> day of <u>NOVEMBER</u> , 2007 in Phoenix, AZ
_____ Signature                      Date	_____ Signature                      Date
Name and Title:	Name and Title: James Scarboro, Deputy State Procurement Administrator
Name of Company:	Name of Agency: Arizona Dept. of Administration State Procurement Office

## **AMMENDMENT #2**

### **STATE OF ARIZONA NOTICE OF REQUEST FOR PROPOSAL (RFP) ARIZONA STATE PROCURMENT OFFICE**

**SOLICITATION NUMBER: 9-015**

**DESCRIPTION: Data Center Outsourcing**

**OFFER DUE DATE AND TIME: December 21, 2007, 3:00 pm, MST.**

**SUBMISSION OF INQUIRIES DUE DATE:** Inquiries regarding this RFP should be submitted in writing (paper copy and e-mail), seven (7) days prior to the Pre-Offer Conference, **to the Solicitation Contact Person identified below.** Reference the Special Instructions, "Submission of Inquiries" section for more specific information.

**PRE-OFFER CONFERENCE: November 16, 2007, 1PM,** Department of Administration, State Procurement Office, 100 North 15<sup>th</sup> Avenue, Suite 104, Phoenix, AZ 85007; see the Special Instructions, "Pre-Offer Conference" section for additional information.

**OFFER DELIVERY/MAILING ADDRESS AND OFFER OPENING LOCATION:**

Arizona State Procurement Office  
100 N. 15<sup>th</sup> Avenue, Suite 104  
Phoenix, Arizona 85007

In accordance with A.R.S. §41-2534 Competitive Sealed Proposals for the services specified will be received by the Arizona State Procurement Office at the above specified location until the time and date cited above. Offers received by the correct time and date will be opened and the name of each Offeror will be publicly read. Offers must be in the actual possession of the Arizona State Procurement Office on or prior to the time and date, and at the location indicated above. **Late Offers will not be considered.**

Offers shall be submitted in a sealed package with the RFP number and the Offeror's name and address clearly indicated on the package. Additional instructions for preparing a Proposal are provided in the Uniform Instructions and Special Instructions as contained within this notice.

**Solicitation Contact Person:**

Richard Szawara, Contract Officer  
Phone Number: (480) 203-6866  
Facsimile Number: (602) 944-1381  
If sending a Facsimile call 480-203-6866 prior to sending  
E-mail: eps100@cox.net

**Date:** Amended November 30, 2007



James Scarboro  
Deputy State Procurement Administrator

**1.0 Definition of Terms**

The terms listed below are defined as follows:

- 1.1 **“Vendor”** and **“Outsourcer”** and **“Service Provider”** and **“Provider”** also means Contractor, unless otherwise indicated.
- 1.2 **“Key Personnel”** means persons whose experience and knowledge is professional in nature as opposed to clerical. Professional work is that which is predominantly intellectual and varied in character (as opposed to routine, manual, mechanical or physical) and involves the consistent exercise of discretion and judgment in the theoretical principles and techniques of a recognized field of science or learning. At a minimum the following shall be considered “Key Personnel”:
  - The Account Manager
  - The Database Manager
  - The Network Manager
  - The Server Team Manager
- 1.3 **“May”** means something is permissive.
- 1.4 **“Must”** denotes the imperative.
- 1.5 **“Shall”** means something is mandatory.
- 1.6 **“Should”** denotes a preference.
- 1.7 **“Outages”** means the operating systems to include the hardware are not functional or are not providing services required by the Contract.

**2.0 RFP Summary**

The Arizona Department of Revenue (ADOR) is seeking a qualified IT outsourcer/Service Provider to provide outsourcing services for management of its production server environment.

**2.1 Introduction and Overview**

The following section provides an overview of the ADOR environment and defines the factors driving this procurement. This section begins with a description of the ADOR environment. The planned direction of the Information Services organization is then summarized, followed by a statement of purpose for this procurement.

**2.2 Purpose of RFP**

ADOR has issued this RFP to contract with an experienced commercial outsourcer(s) to relocate equipment, operate, maintain, and support the ADOR production processing environment. This production environment currently consists of a total of 91 servers, comprised of 84 Microsoft Windows, 1 Linux, 1 Tru64 Alpha, and 5 Sun Solaris servers, associated disk drives, tapes, the related data center network, and associated system software.

The scope of this RFP includes and the Contractor shall provide the planning, resulting relocation, service transition, on-going operation, production control, Level 2 Help Desk, and technical support of these systems in the outsourced production environment. These services must be provided at an outsourcer data center environment located

within the State of Arizona. Further, these services must be available 24 hours per day, 365 days per year.

ADOR will retain responsibility for and the Contractor will not be responsible to provide any of the following: application development functions, mainframe and print operations, Level 1 Help Desk security administration, on-site agency LAN/WAN networks, and desktop support.

Level 1 help desk support is defined as: The single point of contact for ADOR personnel and clients to initiate a request, request information, or notify ADOR of an outage not detected by the vendor. The Level 1 Support consist of call center personnel responsible for taking the initial request and determining which department can best service the client. Additional functionality includes password resets, Move Add or Change (MAC), request for software modifications, and communications with ADOR staff.

Level 2 Help Desk support is defined as: The single point of contact for ADOR to escalate issues to the vendor. Level 2 support consists of system administrators, network administrators, database administrators and other support personnel who triage the initial call and render a solution or escalate to the appropriate support level. Additionally, the level 2 support will monitor the ADOR systems and notify ADOR's designated contact personnel if an issue is detected. In this instance the "Issue" may cover a wide range of incidents including hardware failure, software problems, emergency repairs, or network connectivity.

## **2.3 ADOR Background**

ADOR's mission is to fairly and efficiently administer tax laws for the people of Arizona. It is our vision that we set the standard for tax services. In order to support this mission, the department is currently reengineering its business processes and updating its tax administration systems. This project, the Business Reengineering and Integrated Tax Systems (BRITS), is managed by the department's Information Technology (IT) division. Two successful releases of the agency tax system (TAS) have been completed, and the final release is scheduled for completion in December 2007. The introduction of this new tax system has dramatically altered the technology landscape within ADOR.

### **2.3.1 Management Objectives**

ADOR has become more dependent than ever before on Data Center Services because of the transactional, Web-based, 24x7, global economy that impacts taxpayer expectations. At the same time, ADOR recognizes that information technology can realize major cost savings through data center right-sizing and consolidation. Governance is making greater demands in terms of compliance, archiving, data management, and security. Lastly, to ensure disaster recovery and business continuity, today's data centers must support recovery, back-up, and redundant systems.

ADOR's management objectives include the need to take a more global, Data Center Lifecycle Management approach to operating an adaptive Data Center. We are looking to fulfill the following current and future needs by contracting with a vendor to provide an end-to-end solution including every aspect of the data center life cycle, completely integrated, and managed through consistent process and ownership. Our objective is to have a Data Center that:



1. Is capable of adapting to changes in our business needs and infrastructure
2. Allow our agency and business strategy to drive our application requirements
3. Allow IT Infrastructure requirements to dictate Data Center design
4. Allows our application requirements to define our underlying IT Infrastructure needs

The Contractor will be responsible for establishing a Data Center Lifecycle Management solution that will satisfy and accomplish the following:

1. Data Center Analysis and Planning
  - A. Strategic Needs Analysis
  - B. Facility Review and Evaluation
  - C. Requirements Analysis
  - D. Physical Equipment Inventory
  - E. Data Center Consolidation Analysis
  - F. Disaster Recovery Analysis
  - G. Data Protection Analysis
2. Design, Build, and Setup
  - A. Data Center Setup/Design
  - B. Space Management
3. Data Center Execution
  - A. Data Center Relocation Assistance
  - B. Data Center Equipment Relocation
  - C. Data Center Consolidation/Migration
  - D. Data Center Logical/Physical Relocation Planning
4. Continuous Data Center Management and Evaluation
  - A. Service Level Agreement (SLA) Establishment
  - B. Periodic Data Center Evaluations
  - C. Critical Infrastructure Monitoring and Analysis
  - D. Disaster Recovery Health Checks

### **3.0 Service Scope and Descriptions**

ADOR has identified infrastructure-related initiatives the Contractor shall provide to further improve the level of efficiency and effectiveness in the delivery and management of IT services. These initiatives include the following:

- Server Management – Providing effective, efficient, predictable, high-quality server management services that satisfy the designated Service Level Agreement (SLA).
- Network Management – Providing and/or managing an efficient production environment Network Infrastructure in support of ADOR's production server environment.

### **3.1 Scope: Projected Timing for Production Outsourcing**

ADOR anticipates the overall timing, from Contract award, and assumption by the Contractor of the ADOR production environment, to take approximately Nine (9) months, from Contract award, to complete in accordance with the following anticipated schedule:

Contract award – on or before 2-18-08.

Plan equipment move with ADOR and AT&T, and prepare data centers/servers/networks for move – 3/2008 to 9/2008.

Move servers from AT&T no later than - 9/26/08. The contractor shall disconnect all wiring, remove all servers from the racks, package the equipment, transport to the new location and install the equipment into the datacenter.

Servers must be operational within 2 days after servers are moved.

Close out/ADOR sign off – within 10 days after servers are moved.

Implementation Phase, Part 1: Schedule and move the production servers from the AT&T data center to the new facility. During this part several tasks will be initiated, back up of existing system, shut down of server environment, removal of the hardware from the AT&T facility, physically move the servers to the new facility, install and test the equipment, ensure connectivity and proper functionality of the systems, load monitoring tools and bring the production servers online for operation - 8/15/2008 to 9/26/2008.

Implementation Phase, Part 2: Schedule and move the production servers from the ADOR data center to the new facility. During this part several tasks will be initiated, back up of existing system, shut down of server environment, removal of the hardware from the ADOR facility, physically move the servers to the new facility, install and test the equipment, ensure connectivity and proper functionality of the systems, load monitoring tools and bring the production servers online for operation - 9/15/2008 to 11/14/2008.

To facilitate the planning of the move, several photographs of the AT&T and ADOR datacenters have been provided and are available on the State Procurement Website (same location as the RFP and Solicitation Amendment) at <http://www.azspo.az.gov/SolicitationInfo/index.htm>.

The equipment will be moved from the racks at the AT&T datacenter to the dock prior to loading onto vehicles. There are no stairs, elevators or other obstacles within the AT&T datacenter to hinder the move. The loading dock is about 100 meters from the server cage, with two doors between the servers and the dock. These doors will be accessible at the time of the move.

The equipment from the ADOR datacenter will be moved from the second floor. There is a service elevator from the loading dock to the second floor. There are no other obstacles which would hinder the move.

Operational Hand-off Phase, Part 3: Transition from project team to the operations team the responsibility for monitoring and maintaining the servers. For this part the Operations team will become the primary contact point for DOR – 9/15/08 to 11/14/08.

In the event the Contract is awarded after 2/18/08 all of the dates may be moved forward on a "day for day basis" except that the date the servers must be moved from AT&T and the date the AT&T moved servers must be operational (9/26/08) shall not be modified.

**3.2 Scope: Overview**

ADOR desires to contract with an experienced commercial outsourcer to relocate equipment, operate, maintain, and support ADOR's production environment which consists of a mix of Windows, Linux, and Sun servers, associated disk drives, and tapes. Related Data Center network connectivity to ADOR facilities shall be provided by the Contractor and included within monthly per server charges.

The Contractor shall provide the following:

- Planning, relocation, and transition of ADOR production servers to Vendor environment
- Ongoing hardware and operating system operational support
- Level 2 Help Desk and technical support of ADOR production systems
- Network operational support on production server network and network connectivity to ADOR facilities
- Database support to include Oracle 10g, Microsoft SQL 2000 and 2005

These services shall be provided at the Contractor's data center(s) located in the state of Arizona and available 24 hours per day, 365 days per year.

**All application development functions, print operations, Level 1 Help Desk, network security requirement documentation and standards, local ADOR network administration, and desktop support will remain the responsibility of ADOR.**

**3.2.1 Scope: Data Centers**

ADOR currently has production servers located in two locations specified below. ADOR plans to outsource the following data center/IT locations operated or currently outsourced by ADOR and the Contractor shall relocate equipment at these locations to the Contractor's business location:

DOR Main Data Center  
Arizona Department of Revenue  
1600 West Monroe  
Phoenix, Arizona 85007

AT&T Data Center  
1301 W. University  
Mesa, AZ 85201

A list of equipment within each Data Center is provided in the following sections: Details of equipment by location are contained in APPENDIX A: Server Inventory. The contractor shall assume all costs associated with equipment transfer, to include relocation and may not charge ADOR separately for these costs, except as indicated on the Price Schedule (Attachment # 2).

**3.2.2 Scope: Server Management**

The current ADOR production server environment includes a total of 91 servers: 84 Microsoft Windows, 1 Linux, 1 Tru64 Alpha, and 5 Sun Solaris servers, as well as associated disk drives and tapes. This equipment is spread across the ADOR data center environments in the following configuration:

- ADOR Main Data Center – 63 servers
- AT&T Data Center – 28 servers

Detailed equipment information is provided in APPENDIX A: Server Inventory.

The scope of services related to server management includes and the Contractor shall provide the following:

- On-going operation support and maintenance, except that ADOR will have responsibility for replacing existing equipment and acquiring new equipment
- Production control monitoring
- Change Management responsibility for Operating System and Hardware patches/updates/upgrades
- Level 2 Help Desk and technical support.

ADOR currently utilizes the HEAT<sup>®</sup> help desk system for trouble ticketing and problem resolution. The Contractor shall integrate and communicate with ADOR's HEAT help desk system for trouble ticketing/reporting purposes only.

### 3.2.3 **Scope: Network Management**

The Contractor shall provide complete, end-to-end network services to/from Contractor's data center location(s) and ADOR's facilities in Phoenix, East Mesa, and Tucson. The Contractor shall, as necessary, provide circuit demarcation at each ADOR facility back to Contractor's Data Center location(s) with bandwidth equal to or greater than what ADOR currently has in place from the AT&T Data Center ONLY. Currently, ADOR is connected to the AT&T Data Center through the following connections:

**Table 1: AT&T Data Center Connections.**

Site 1	Site 2	Connectivity
AT&T Data Center	ADOR Main Facility 1600 West Monroe Phoenix, AZ 85007	DS-3
AT&T Data Center	ADOR Main Facility 1600 West Monroe Phoenix, AZ 85007	VPN tunnel via Internet as circuit backup with a minimum 3 meg internet connection.
AT&T Data Center	East Valley Office 3191 North Washington Chandler, AZ 85225	T-1
AT&T Data Center	Tucson Office 400 West Congress Tucson, AZ 85701	T-1

A high-level network map is provided in Appendix B showing current connectivity amongst sites. The Contractor shall provide under the scope of network management services the following critical sub-services:

- Traffic analysis
- Load balancing (see Appendix A for detailed equipment list)
- Volume monitoring (see Appendix A for detailed equipment list);

- Internal connectivity at Vendor's facility ONLY
- Port analysis
- Circuit life
- Signal strength

#### **3.2.4 Database Management**

The contractor shall provide database management support for both Microsoft SQL and Oracle 10g databases. ADOR currently maintains 300 SQL and 6 Oracle databases in the production environment. The contractor shall conduct preventive and regular maintenance of the databases physical and logical structures and processes.

Database Management services consist of:

- Planning for database growth and make adjustments to database parameters
- Plan and perform database extensions
- Manage table space usage and next extent sizes
- Perform database profile modifications as required
- Perform database reorganizations
- Backup database archive logs to tape
- Resolve database problems
- Perform database imports/exports

#### **3.2.5 Capacity Management**

The Contractor shall provide capacity management, which refers to the planning and control of all system and support components (CPU, memory, disk space, tape, network bandwidth, electrical, HVAC) to ensure sufficient computer resources to satisfy ADOR requirements. It represents the ability to handle peak usage by providing adequate system and support resources (CPU, memory, disk, tape, network bandwidth, electrical and HVAC) and the ability to increase or decrease capacity as dictated. For a complete list of equipment and disk requirements see appendix A.

#### **3.2.6 Performance and Availability Monitoring**

The Contractor shall provide performance monitoring, which is defined as the processes involved in the on-going examination of the hardware and operating system(s) of each in-scope production server. Availability monitoring is defined as the processes involved in ensuring the maximum time that systems are accessible by ADOR from within their facilities.

#### **3.2.7 Change Management**

The Contractor shall provide change management, which is defined as the process to communicate, assess, monitor, and control all changes to system resources and processes. The Contractor shall provide a contact to attend the weekly ADOR Change Management meeting. This can be either via telephone or by attending the meeting on site at the DOR Main facility.

**3.2.8 Backup Processing and Practices**

The Contractor shall be responsible for the backup of all production equipment including configuration files, data on servers and all physical handling and management of tapes, both on and off site or for.

**3.2.9 Technical Support/Problem Management**

The Contractor shall provide technical support, which is defined as the support provided for hardware and system software (e.g., operating systems, storage equipment, storage management software, and other in-scope items). The Contractor shall take a proactive role in analyzing new system software products and educating ADOR on new features and capabilities. Further, ADOR provides Help Desk support for all IT related problems (mainframe, midrange, applications, networks, PCs) utilizing the HEAT™ help desk. ADOR will use the Vendor for Level 2 support for production hardware and operating system technical support issues on a 24x7x365 basis. It is ADOR's intent to maintain its current Help Desk infrastructure for Level 1 issues. The contractor shall maintain a contact list for after hours escalation of any issue with the production equipment. The contractor shall be responsible to escalate issues when the ADOR level 1 helpdesk is unavailable (i.e. nights and weekends). The contractor shall integrate it's ticketing system with the ADOR HEAT ticketing system for automated communications between the organizations.

**3.2.10 Security & Confidentiality**

The Contractor shall comply with all security and confidentiality requirements. ADOR has its own guidelines regarding security with stringent guidelines mandated by Federal and State statutes and regulations. The Vendor must provide an environment capable of meeting or exceeding controlled access protection as defined in the State of Arizona Statewide Standard P800-S885 Rev 1.0, IT Physical Security (10/20/2006), as amended. Contractor shall comply with and execute "Exhibit 1." ADOR's specific security requirements must be satisfied prior to migrating to the outsource environment.

ADOR will retain administration of data access security (granting of access, resetting of passwords, definition of password syntax rules, monitoring of access violation reports, etc.). ADOR's Information Security Officer will oversee and coordinate security issues relative to the Vendor and ADOR. However, the function of operating system security implementation and maintenance will be the responsibility of the Vendor.

**3.2.11 Disaster Recovery**

ADOR's mission-critical applications require varying restoration periods, from 24 to 72 hours, as defined in Section C.2.8. (Note: ADOR does not insist that disaster recovery facilities be located in Arizona. Only the primary site(s) performing the production outsource services must be located in Arizona.) A list of the equipment and data to be available and the SLA requirement are located in Appendix A.

**4.0 Service Levels**

ADOR will determine at any time during the Contract the specific service level that shall be provided by the Contractor. "Hoteling" shall be provided with all service levels.

"Hoteling" includes the following: Provides the physical location for the servers to reside. There is very little service provided for the servers. Hoteling includes the basic provisions for power and cooling as well as some limited monitoring for hardware failures. Additionally, a "Smart Hands" provision is included with hoteling. "Smart Hands"

provides for some quick fix maintenance for hardware failure. For more complex maintenance DOR staff and/or another vendor will require access to the facility.

The Contractor shall have the capability to provide any of the following three Service Levels: Silver, Gold, and Platinum.

Below is a list of service Categories and Service Levels the Contractor shall have available to be provided at an escalating level.

<b>Category</b>	<b>Silver Service Level</b>	<b>Gold Service Level</b>	<b>Platinum Service Level</b>
Server Availability	99.00%	99.50%	99.90%
<b>Hardware/Software Requirements (Minimum)</b>			
<b>Hardware Maintenance Required</b>	24x7x4	24x7x4	24x7x2
Vendor Supported Operating System	Yes	Yes	Yes
Hardware RAID	Yes	Yes	Yes
Redundant Power Supplies	Yes	Yes	Yes
Network Connections	3	3	4
Network Interface Cards	2	2	2
Clustered Hardware	No	No	Yes
Cluster Enabling Software	No	No	Required
SAN Storage	Optional	Optional	Optional
<b>Infrastructure Software</b>			
Tripwire Auditing Software	Yes	Yes	Yes
Enterprise File System Backup Agent	Yes	Yes	Yes
Enterprise Hot Database Backup Agent	No	No	No
Enterprise OS Monitoring Agent	Yes	Yes	Yes
Enterprise Application Monitoring Agent	No	Yes	Yes

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<b>Services</b>			
Racking/Installation	Yes	Yes	Yes
Layer 2 Network Connectivity	Yes	Yes	Yes
Network Configuration	Yes	Yes	Yes
Application Failure Notification	No	Yes	Yes
System Administration	Yes	Yes	Yes
<b>Backup/Recovery Services</b>			
File System Backup/Recovery	Yes	Yes	Yes
Hot Database Backup/Recovery	No	No	No
<b>Monitoring</b>			
Hardware Monitoring	Yes	Yes	Yes
Up/Down Monitoring	Yes	Yes	Yes
Operating System Monitoring	Yes	Yes	Yes
<b>Application Monitoring</b>			
Process/Log Monitoring	2 processes or logs	Yes	Yes
Application Monitoring via Monitoring Software	No	Yes	Yes
<b>OS Capacity Planning</b>			
Reporting	Yes	Yes	Yes
Capacity Planning Recommendations	No	Yes	Yes
<b>Performance Tuning</b>			
Reactive	2 times per year	Yes	Yes
Proactive	No	Yes	Yes
<b>Other Services</b>			
(i)Structure Center Remote Hands (per month)			
Windows/Unix (per server)	NA	NA	NA



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VMS (per server)	NA	NA	NA
Manual Daily Media Swapping and Handling	No	No	No

## APPENDIX A Server & Equipment Inventory

The table below presents a list of ADOR production servers and supporting equipment that are currently in-scope for this RFP. The details provided represent the state of the ADOR production environment at the time of this solicitation and may not be the environment that is finally outsourced. The Contractor should anticipate the number of servers may change.

Table 2: Existing **Servers.**

#	NAME	Vendor/Model	Memory in G	OS	PO Date	NICs (# - Speed)	CPU(# - Speed)	HDD Cap	Physical Location	24/7	External Disk	Comments
1	DORBIZAP01	HP 380 G3	3.5 GB	2003 Std.SP1	9/28/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	24		
2	DORBIZAP02	HP 380 G3	3.5 GB	2003 Std.SP1	9/28/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	24		
3	DORBIZDB01	HP 380 G3	4.5 GB	2003 Ent. SP1	9/28/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	72	175	
4	DORBIZDB02	HP 380 G3	4.5 GB	2003 Ent. SP1	9/28/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	72	175	
5	DORCOMFT01	HP 380 G3	4.0 GB	2003 Std.SP1	7/15/2004	4 - 100M	2-2.8G	816G	AT&T Data Center	24		
6	DORMOBWB01	HP 380 G3	4.0 GB	2003 Std.SP1	8/3/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	72		
7	DORTASDB01	SUN Sunfire V880	32.8 GB	Solaris 9	9/24/2003	1 - 10; 3 - 100; 3 -1000	4-900M	432G	AT&T Data Center	72	430	Clustered with 8 Simp
8	DORTASDB02	SUN Sunfire V880	32.8 GB	Solaris 9	9/24/2003	1 - 10 3 - 100 3 -1000	4-900M	432G	AT&T Data Center	72	430	Clustered with 7 Simp
9	DORTASDB03	SUN Sunfire V890	32.8 GB	Solaris 9	9/1/2006	4 -1G	4-1.5G	876G	AT&T Data Center	24	220	Clustered with 10 Sim
10	DORTASDB04	SUN Sunfire V890	32.8 GB	Solaris 9	9/1/2006	4 -1G	4-1.5G	876G	AT&T Data Center	24		Clustered with 9 Simp
11	DORTASWB01	HP 380 G5	8.0 GB	2003 Ent. SP1	9/24/2003	4 - 100M	2-5.1G	108G	AT&T Data Center	24		Clustered with 12 & 1 Robin
12	DORTASWB02	HP 380 G5	8.0 GB	2003 Ent. SP1	9/24/2003	4 - 100M	2-5.1G	108G	AT&T Data Center	24		Clustered with 11 & 1 Robin
13	DORTASWB03	HP 380 G5	8.0 GB	2003 Ent. SP1	9/24/2003	4 - 100M	2-5.1G	108G	AT&T Data Center	24		Clustered with 11 & 1 Robin
14	DORTASWB04	HP 380 G3	4.0 GB	2003 Std.SP1	7/17/2003	4 - 100M	2-2.8G	216G	AT&T Data Center	72		Clustered with 15 & 1 Robin
15	DORTASWB05	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	5 - 100M	2-2.8G	108G	AT&T Data Center	72		Clustered with 14 & 1 Robin

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16	DORTASWB06	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	4 - 100M	2-2.8G	108G	AT&T Data Center	72		Clustered with 14 & 1 Robin
17	DORTSCAP01	HP 380 G3	4.0 GB	2003 Std.SP1	9/24/2003	4 - 100M	2-2.8G	216G	AT&T Data Center	24		
18	DORTSCAP02	HP 380 G3	4.0 GB	2003 Std.SP1	9/24/2003	4 - 100M	2-2.8G	216G	AT&T Data Center	24		
19	DORTSCDB01	HP 580 G3	3.75 GB	2003 Ent. SP1	9/24/2003	4 - 100M	4-2.5G	108G	AT&T Data Center	24	250	
20	DORTSCDB02	HP 580 G3	3.75 GB	2003 Ent. SP1	9/24/2003	4 - 100M	4-2.5G	108G	AT&T Data Center	24	250	
21	DORTSCWB01	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	4 - 100M	2-2.8G	108G	AT&T Data Center	24		
22	DORTSCWB02	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	4 - 100M	2-2.8G	108G	AT&T Data Center	24		
23	DORTSCWB03	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	5 - 100M	2-2.8G	108G	AT&T Data Center			
24	DTC79822	HP D530	1.0 GB	2003 Std	9/1/2006	1 - 1G	1-2.6G	38G	AT&T Data Center	24		To be replaced with a
25	DTC79827	HP D530	1.0 GB	XP	9/1/2006	1 - 1G	1-2.6G	38G	AT&T Data Center	72		To be replaced with a
26	DTCAD01	HP 380 G3	2.5 GB	2003 Std.SP1	9/24/2003	2 - 1G	2-2.8G	104G	AT&T Data Center	24		
27	DTCBIZAPP01	HP 380 G3	3.5 GB	2003 Std.SP1	9/24/2003	5 - 100M	2-2.8G	108G	AT&T Data Center	72		
28	DTCBIZAPP02	HP 380 G3	3.5 GB	2003 Std.SP1	9/28/2004	4 - 100M	2-2.8G	108G	AT&T Data Center	24		
1	DORFTP01	Compaq 5500	512MB	2003 Std.SP1	5/17/2002	3 - 100M	6 - 450M	91G	DOR Main Data Center	24		
2	DORWEB01	HP 380 G2	6.1 GB	2003 Std.SP1	5/17/2002	2 - 100M	2-1.39G	170G	DOR Main Data Center	24		
3	DORWEB02	HP 380 G3	3.0 GB	2003 Std.SP1	4/30/2003	2 - 1G	4-2.8G	68G	DOR Main Data Center	24		
4	NEWSQL	HP 580	4.0 GB	W2K Adv SP4	9/20/2000	2 - 100M	4-.700M	36G	DOR Main Data Center	72	300	
5	PHXBIZAPP01	HP 380 G3	4.5 GB	2003 Std SP1	9/24/2003	2 -1G	2-2.8G	104G	DOR Main Data Center	24		
6	PHXBRITS02	HP 580 G2	4.0 GB	2003 Ent. SP1	9/25/2003	2 -1G	4-1.4G	352G	DOR Main Data Center	72		
7	PHXBRITS09	HP 380 G3	4.5 GB	2003 Ent. SP1	1/22/2003	2 -1G	2-2.8G	104G	DOR Main Data Center	24		
8	PHXBRITS15	HP 380 G3	1.0 GB	2003 Std.SP1	7/17/2003	2 -1G	1-2.8G	139G	DOR Main Data Center	24		
9	PHXBRITS17	HP 380 G3	4.5 GB	2003 Ent. SP1	9/24/2003	2 -1G	2-2.8G	104G	DOR Main Data Center	24		
10	PHXBRITS18	HP 380 G3	4.5 GB	2003 Ent.	9/24/2003	1 -1G	2-2.8G	104G	DOR Main Data	24		

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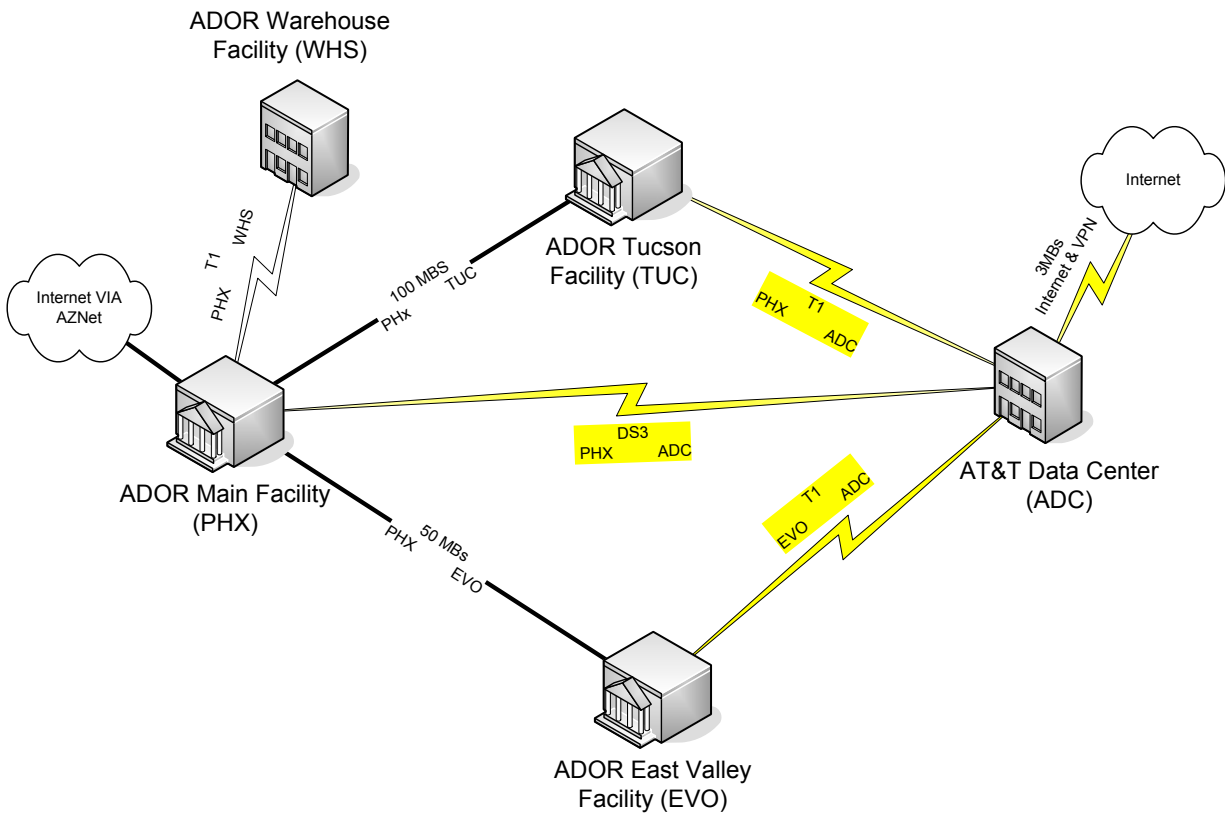
				SP1					Center			
11	PHXBRITS22	HP 380 G3	4.0 GB	2003 Ent. SP1	9/22/2004	1 -1G	2-3.06G	104G	DOR Main Data Center	72		
12	PHXBRITS23	HP 380 G4	4.0 GB	2003 Ent. SP1	9/22/2004	2 -1G	2 - 3.8G	630G	DOR Main Data Center	72		
13	PHXESKCOMDB01	HP 580 G2	8.0 GB	2003 Ent. SP1	9/27/2004	2 -1G	4-2.5G	139G	DOR Main Data Center	24		
14	PHXREMIT01	HP 380 G4	4.0 GB	2003 Std. SP1	4/14/2006	2 -1G	2-3.8G	630G	DOR Main Data Center	72		
15	PHXSQL07	HP 580	4.5 GB	W2K Adv SP4	9/29/2001	2 - 100M	4-700M	280G	DOR Main Data Center	72		
16	PHXSQL08	HP 580	4.5 GB	2003 Ent. SP1	12/31/2001	2 - 100M	4-700M	420G	DOR Main Data Center	24		
17	PHXSQL10	HP 580	3.0 GB	W2K Adv SP4	1/22/2003	2 -1G	4-700M	140G	DOR Main Data Center	24		
18	PHXSQLDB01	HP 580 G3	4.0 GB	2003 Std SP1	6/21/2005	2 -1G	4-3.0G	900G	DOR Main Data Center	72		
19	PHXSQLDSO	HP 380 G4	4.0 GB	2003 Std SP1	6/10/2005	2 -1G	2-3.6G	1431 G	DOR Main Data Center	72		
20	PHXTASWB01	HP 380 G3	4.0 GB	2003 Std. SP1	4/10/2003	2 -1G	2-2.8G	350G	DOR Main Data Center	72		
21	PHXTRNORCDB011	Sun Sunfire V480	16 GB	Solaris 9	9/1/2007				DOR Main Data Center	72		
22	UNCLPROP02	HP 380 G4	4.0GB	2003 Std. SP1	3/7/2007	2 -1G	2-3.8G	128G	DOR Main Data Center	72		

**Table 3: Other Equipment (Storage, etc.).**

		<b>Model</b>		<b>Total Installed storage</b>	<b>Purchase Date</b>	<b>Location</b>
1	Cisco	9509	Fiber Channel Switch	N/A	9/2003	AT&T Data Center
2	Cisco	9509	Fiber Channel Switch	N/A	9/2003	DOR Data Center
3	EMC	CX600	Storage Area Network	3200 GB	9/2003	AT&T Data Center
4	EMC	CX600	Storage Area Network	4962.7 GB	9/2003	DOR Data Center

## APPENDIX B Current State Network Map

The following high-level network map provides the existing ADOR network bandwidth and network configurations currently in use. The Contractor shall meet or exceed these network bandwidth specifications.



## APPENDIX C Service Level Agreement (SLA) Requirements

Below is a list of *minimum standards* for SLAs the Contractor is required to meet or may exceed, as appropriate. SLAs are provided for hardware, operating system software, and network services.

### C.1 Vendor Hosting Responsibilities

#### C.1.1 Data Center Services

The Contractor shall provide the following standard data center services: maintenance and monitoring of systems and operations. As per the monitoring processes, the Contractor shall notify ADOR identified points of contacts upon any issue or adverse situation. The Contractor's maintenance process must include an appropriate backup practice. The Contractor shall apply hardware and operating system updates with notification to ADOR.

#### C.1.2 Reporting

The Contractor shall provide, at a minimum, the following reports:

- (1) On a monthly basis, Vendor will prepare a report describing System and Service updates. The report should contain the following areas:

**MANAGEMENT SUMMARY**

ISSUES/SUMMARY

**SERVICES REPORT**

SYSTEMS SUPPORT

BACKUP STATISTICS

**SYSTEM AVAILABILITY**

AVAILABILITY STATISTICS

OUTAGE REPORT

- (2) On a weekly basis, the Contractor shall prepare a report describing general system-level metrics (system uptime, CPU load, network traffic, etc.).
- (3) On a monthly basis, in concurrence with the report describing System and Service updates, the Contractor shall have a Service Review Meeting/teleconference with ADOR IT management and staff to discuss service delivery, project status, and account issues.
- (4) On a daily basis, Contractor is to report on any unscheduled outages related to systems, networks, or other items within the scope of this RFP.

#### C.1.3 Change Implementation

Contractor will apply all change requests submitted with the appropriate lead times and that have been approved by all involved parties.

### C.2 Service Measurements

#### C.2.1 Performance Objective Definitions

This section defines ADOR performance objectives in terms of the quality and reliability of service provided. The Contractor is expected to ensure that the services provided will consistently meet the performance objectives, **provided actual resource usage is within acceptable levels and circumstances are not beyond the Vendor's control as determined by ADOR**. Each performance indicator is defined using the following terms and criteria:

<b>Objective</b>	The business reason for measuring the performance indicator.
------------------	--

<b>Definition</b>	Identifies and describes terms and concepts relating to the objective and performance indicators.
<b>Performance Indicator</b>	Defines the specific metric to be used in measuring the performance.
<b>Service Goal</b>	The service levels set for which the Vendor has primary responsibility to meet or exceed. Remedies for resolving difficulties in attaining these goals are defined in this Service Level Agreement.
<b>Target</b>	The desired level of performance in which both ADOR and the Vendor share responsibility. If difficulties arise in consistently reaching a service target, remedies will be jointly investigated to satisfy ADOR standards. Vendor will retain responsibility for reporting actual performance against defined service targets
<b>Period</b>	The elapsed time over which performance is validated against the Service Objectives, generally either weekly or monthly.
<b>Benchmark</b>	Information system activity that illustrates the volume of service provided at the time the Service Objectives were approved. If ADOR system activity volume significantly grows beyond Benchmark levels, Service Level Objectives contained in this agreement may not be attainable. Contractor is expected to work with ADOR to maintain these Service Objectives, including Contractor offering alternative delivery solutions to ADOR for review and approval. All benchmark statistics are based upon the most recent data.
<b>Resource Range</b>	Sets limits on the conditions under which the Service Objectives can be applied. ADOR realizes that it is not possible to define limits on every factor which may impact the ability to meet performance objectives. It is expected that in any case where an objective is missed, additional effort may be required to determine cause and applicability of the stated remedy. Even if the range is exceeded, ADOR expects Contractor to meet the Service Objectives.
<b>Report</b>	A description of the report the Contractor will prepare documenting service performance against agreed upon Service Goals and targets. Report formats are subject to change based on updates to tools, ADOR's system environment, and changes to this Service Level Agreement.
<b>Remedy</b>	Describes the process that will be followed in the event Service Objectives are not met.

#### C.2.2 System Availability

<b>Objective:</b>	To ensure that the critical operating systems (Windows, Solaris and LINUX) and hardware that supports them are available to users during the scheduled ADOR work hours.
<b>Definition:</b>	System availability is defined in terms of the accessibility of the operating system. Operating systems are considered available if hardware and operating systems are active and functional. Availability is expected for both prime and non-prime operating hours and as requested for weekend and holidays.



ADOR work hours are defined as follows:

Prime Operating:	06:00 to 23:59 MST	Monday – Friday
Non-Prime Operating:	00:00 to 05:59 MST	Monday – Friday
Weekend:	As requested As requested	Saturday Sunday
Holidays	As requested	

Note: The AZTaxes.gov site is required to be operational 24X7X365.

**Performance Indicator:**

System availability will be tracked at both the device and operating system level.

The percent of scheduled time each specified system is available will be tracked as the measure of performance.

System availability is calculated as follows:

$$\frac{\text{Scheduled Hours} - \text{Unscheduled Outages Hours}}{\text{Scheduled Hours}} \times 100$$

All outages are considered unscheduled except:

- Mutually agreed upon and planned downtime
- Downtime caused by actions or omissions of ADOR
- Downtime caused by a disaster

Windows/Solaris/LINUX: Availability is calculated as the average availability of Windows, Solaris, or LINUX during the scheduled hours of operation.

Operating System Software/Hardware: Availability is calculated as the average availability of all systems software or hardware during the scheduled hours of operation.

**Service Goal:**

Windows/Solaris/LINUX: 99.9% cumulative availability each month.

Operating System Software/Hardware: 99.9% availability each month.

**Report:**

All unscheduled outages will be communicated in the monthly Service Reporting package. This report should document the duration and time of outages, as well as the total number of outages for the month.

**Remedy:**

A remedy may be initiated under the following circumstances:

Windows/Solaris/LINUX: More than one 45-minute outage occurs in one day or more than four unscheduled outages occur in one month.

Operating System  
Software/Hardware:

Availability falls below 98% for one month or below 99.5% for 3 consecutive months.

**If this Service Goal is missed for any two consecutive months, or three months in any 12-month period, the root cause of the problem will be thoroughly investigated and fixed by Contractor at Contractor's cost.** An action plan will be prepared to prevent reoccurrence within five business days of the incident, unless an alternate date is mutually agreed upon. If the Service Goal is missed for three consecutive months, the issue will be escalated to the Contractor's designated Account Manager and the appropriate ADOR executive.

### C.2.3 Network Services

- Objective:** To ensure that the network services supporting critical operating systems and hardware are secure and available to users.
- Definition:** Network Availability is the average monthly availability of all sites in the network. Networks are considered available if routes are available to exchange data between Vendor-managed routers and switches and any ADOR-managed border routers.
- Availability is expected for both prime and non-prime operating hours and as requested for weekend and holidays. See Section C.2.2 "System Availability" section for details on ADOR work hours.
- Performance Indicator:** Network availability is calculated from the total number of minutes in a billing month during which core network routes are available to exchange data between all Vendor-managed routers and switches and any ADOR-managed border routers, divided by the total number of minutes in that month (Network Availability time).
- Service Goal:** Network services      99.9% availability each month
- Report:** All unscheduled outages will be communicated in the monthly Service Reporting package. This report should document the duration and time of outages, as well as the total number of outages for the month.
- Remedy:** **If this Service Goal is missed for any two consecutive months, or three months in any 12-month period, the root cause of the problem will be thoroughly investigated and fixed by the Contractor at the Contractor's cost.** An action plan will be prepared to prevent reoccurrence within five business days of the incident, unless an alternate date is mutually agreed upon. If the Service Goal is missed for three consecutive months, the issue will be escalated to the Vendor's designated Delivery Executive and the appropriate ADOR executive.

### C.2.4 Technical Support Services

- Objective:** To provide ADOR with support personnel required to ensure a productive processing environment.

<b>Definition:</b>	Support services requirements have been defined for the following areas:	
	<ul style="list-style-type: none"> <li>• Operations Support</li> <li>• Help Desk Support</li> <li>• Systems Software Support</li> <li>• Database Support for MS SQL 2K &amp; 2K5 and Oracle 10g</li> </ul>	
<b>Method:</b>	ADOR users will monitor availability and responsiveness to incidents and requests through Vendor's automated problem tracking system and report any lack of support for a particular area to ADOR's point of contact.	
<b>Service Goals:</b>	Operations Support:	Available 24 hours/day, 5 days/week. ADOR expects no more than 15-minute acknowledgement of newly reported issues. Data restores will be completed as soon as possible following a request from an appropriate ADOR representative. If problems arise, Vendor must contact the requester.
	Help Desk Support:	Available 24 hours/day, 5 days/week with 15-minute Vendor-to-ADOR problem/issue acknowledgement (not resolution).
	Operating Systems Software Support:	Available to schedule up to 40 hours/month for modifications or enhancements during prime work hours. Other support available after-hours via pager. All systems will be supported.
	Windows:	Available to schedule up to 40 hours/month for modifications or enhancements during prime work hours. Other support available after-hours via pager. All systems will be supported.
	Solaris:	Available to schedule up to 40 hours/month for modifications or enhancements during prime work hours. Other support available after-hours via pager. All systems will be supported.
	Database	Available to schedule up to 40 hours/month for modifications or enhancements during prime work hours. Other support available after hours via on call support list. All systems will be supported.
<b>Period:</b>	Daily, as required.	

#### C.2.5 Service Reporting

<b>Objective:</b>	To provide ADOR with regular reports documenting their processing usage and performance.
<b>Definition:</b>	Service reporting is the process of preparing weekly or monthly reports that document service level performance, project status, and account issues.
<b>Method:</b>	On a monthly basis, a Service Review Meeting is held to discuss service delivery, project status, and account issues.

## C.2.6 Quality of Change Management

<b>Objective:</b>	To ensure change requests are handled in an efficient and effective manner.
<b>Definition:</b>	A change is any alteration, modification, cancellation, or installation that will ultimately alter or affect the ADOR production environment. Change Management is the process that protects the environment from changes that are potentially disruptive or have unacceptable risk associated with them. It is an ongoing process of communicating, coordinating, scheduling, monitoring, and controlling changes to the environment. The contractor shall not implement a change to the environment without having an authorized change control record specifying the changes to be conducted.
<b>Normal Changes:</b>	Changes will be generated by ADOR personnel. Common changes include repairing a known problem (not critical to production processing) and installing new technology upgrades (patches, service packs).
<b>Emergency Changes:</b>	Emergency Changes can be generated by ADOR or Vendor personnel. An emergency change is required when the production environment is in jeopardy of failure and will have an adverse effect on ADOR's processing. Special approvals will be required to implement an emergency change outside the normal maintenance window.
<b>Ex Post Facto Change</b>	An Ex Post Facto change request is intended to repair a component which has already failed. i.e. a hard drive, a power supply or a fan failure would fall into this category. Prior to conducting the repair the vendor must receive at a minimum telephonic approval from a member of the ADOR change management board. A change control record will be submitted after the repair has been completed.
<b>Requesting Changes:</b>	<p>Vendor will implement normal ADOR change requests within a two-week window in order to provide lead time* for scheduling into the production environment.</p> <p>*Lead time is defined as the amount of time Vendor should need to test and research the impact of a proposed change, obtain software or hardware from a Vendor, etc.</p>
<b>Performance Indicator:</b>	<p>Successful completion of implementing changes will be tracked as a measure of performance.</p> <p>Implemented changes will be calculated as follows:</p> $\frac{\text{Number of Changes}^{**} - \text{Changes Completed with Defects}}{\text{Number of Changes}} \times 100$ <p>**The number of emergency changes requested will be considered when calculating this number.</p>
<b>Service Goals:</b>	<p>All change requests will be processed through the DOR change Management Board. No change will be initiated by the vendor without prior DOR approval. Change requests will be processed utilizing the following method:</p> <p>Standard Change: A request generated by the vendor or DOR will be submitted to the Change Control Board for approval no less than two</p>

(2) weeks prior the to the scheduled change. The board will review the change request. Upon approval the request will be scheduled and a copy of the approved change request will be provided to the vendor.

**Emergency Change:** An emergency change is a change designed to repair an existing problem or mitigate a risk which left fort he normal process could result in further damage or a potential outage. For an emergency change the vendor will contact the ODR point of contact and request authorization to proceed. A change request will be submitted to the board for review but this change will be conducted outside of the normal maintenance time frame.

**Ex Post Facto:** An Ex Post Facto change is a change where an immediate repair needs to be conducted. The vendor will contact the point of contact for DOR and explain he reason for the change. In this instance, and only this instance, shall a change be conducted prior to a change record being presented to the board for review. The vendor will be allowed to proceed with the change with only telephonic approval. A change record will be produced after the change is complete to document the incident. An Ex Post Facto change is a very rare change. It is intended to repair hardware failure which has caused an outage and requires immediate action to resolve. The vendor will be required to document who authorized the change and the results of the repair.

The vendor shall attend, either in person or via telephone, the weekly DOR change management meeting.

#### **C.2.7 Incident Management**

**Objective:** To ensure that all incidents are acknowledged and resolved in a timely, effective manner.

**Definition:** An incident is any unanticipated or unplanned event that deviates from standard activity or expectations. Incidents may also include requests for enhancements, support, or actions, which require the attention of systems personnel. Based upon scope and expected duration, an incident may result in creation of a change request (see C.2.6 Quality of Change Management). All incidents will be classified by ADOR-stated priority, following the guidelines below:

<b>Priority</b>	<b>Scheme</b>
1	System down; many client users are unable to process transactions or access information critical to daily processing.
2	Critical component down; one or more client users are unable to process transactions, and no circumvention is available.
3	Client user is impacted, but circumvention is available or work can continue in an impaired manner.
4	Special request (includes change requests and requests for assistance or information); no problems are assigned this priority.

**Performance Indicators:** Performance against Resolution Time Goals will be tracked and reported as a measure of performance.

<b>Service Goals:</b>	<b>Incident Priority</b>	<b>Resolution Goals</b>	<b>Notification Goals</b>	<b>Report Period</b>
	Priority 1	< 2 hours	15 Minutes	Monthly
	Priority 2	< 4 hours	15 minutes	Monthly
	Priority 3	< 24 hours	1 Hour	Monthly
	Priority 4	< 72 hours	3 Hours	Monthly

<b>Report:</b>	<p>Contractor will be responsible for escalation to the ADOR support team of all Priority 1 incidents.</p> <p>The total number of incidents opened and resolved each month relating to Vendor services will be communicated in the monthly reports. The trend in number of incidents opened each month should be monitored and reported to identify opportunities for continuous improvement activities.</p>
<b>Remedy:</b>	<p><b>If the service goal for resolving incidents within this service level is missed for two consecutive months, the root cause of the problem will be thoroughly investigated and fixed by the Contractor at the Contractor's expense.</b></p> <p>An action plan will be prepared to prevent reoccurrence within five business days of the incident, unless an alternate date is mutually agreed upon. If the Service Goal is missed for three consecutive months, the issue will be escalated to the Vendor's designated Delivery Executive and the appropriate ADOR executive.</p>

#### C.2.8 Disaster Recovery Planning

<b>Objective:</b>	To ensure that required system components, communication, and data can be recreated at an alternate location in the unlikely event that the Vendor hosting service is incapable of providing service.
<b>Definition:</b>	<p>Disaster recovery planning is the process by which the Vendor will ensure that the specified ADOR system components and data could be rebuilt following a disaster situation.</p> <p>Disaster recovery plans and procedures will be reviewed by ADOR semi-annually and a formal test with the Vendor and ADOR will be conducted annually, on or about the contract anniversary.</p>
<b>Performance Indicator:</b>	The time elapsed between the reporting of the disaster and the subsequent time at which ADOR can access the defined system components.

**Service Goals:** Should an unanticipated interruption of ADOR's data processing capability at the Contractor occur, ADOR will determine after conferring with the Contractor whether a disaster should be declared within six hours following such interruption. Once a disaster is declared, the Contractor shall restore ADOR's communication, system, and production server environments sufficient to operate the critical systems between 24 and 72 hours following the declaration of such disaster, subject to the availability or access to the disaster recovery site. System availability restoration periods for each tier of production server will be (re)established by ADOR on a yearly basis. The following specifications will be utilized for performance measurements:

- Tier 1 – 24 hour restoration period
- Tier 2 – 72 hour restoration period

Note: Tier 1 and 2 equipment are identified in appendix A.

In order to be adequately prepared for a disaster, the Contractor will provide ADOR with Disaster Recovery testing on an annual basis, including testing of specific Contractor components. Compliance with this testing can be accomplished through the Contractor providing a SAS-70 Type II showing specific Disaster Recovery Control testing. The Contractor will prepare a summary of test results and will present them to the ADOR management team for their review. Issues identified during a test should be subsequently re-tested.

The Contractor also will make available its corporate Disaster Recovery Plan to ADOR for review.

**Resource Range:** This performance indicator is valid providing ADOR participates in the disaster recovery planning process as previously defined.

**Report:** N/A

**Remedy:** N/A

### **C.3 Reporting Process**

The Vendor shall at least monthly deliver and present the base set of reports to the ADOR's Chief Information Officer (CIO) and other ADOR staff as directed by ADOR. The purpose of this meeting will be to discuss the monthly billing report and monthly Service Report metrics (as outlined in this chapter).

**PRICE SCHEDULE**

The Contractor shall be paid in accordance with the following six (6) price components:

1. Relocate Equipment: Move equipment identified, in Appendix A and in accordance with the Scope of Work, to the Contractor's location.

\$ \_\_\_\_\_

2. "Silver" service level as specified by the Scope of Work, to include Appendices; price will be paid per server each month.

\$ \_\_\_\_\_

2. "Gold" service level as specified by the Scope of Work, to include Appendices; price will be paid per server each month.

\$ \_\_\_\_\_

4. "Platinum" service level as specified by the Scope of Work, to include Appendices; price will be paid per server each month.

\$ \_\_\_\_\_

5. Task Assignment: Priced per hour of service provided.

Technician (hourly rate) \$ \_\_\_\_\_

Engineer (hourly rate) \$ \_\_\_\_\_

Data Base Administrator (hourly rates)

Oracle Junior DBA \$ \_\_\_\_\_

Oracle Senior DBA \$ \_\_\_\_\_

Microsoft SQL Junior DBA \$ \_\_\_\_\_

Microsoft SQL Senior DBA \$ \_\_\_\_\_

Project Manager (hourly rate) \$ \_\_\_\_\_

Other (hourly rate) \_\_\_\_\_ \$ \_\_\_\_\_  
(Specify)

6. Connectivity Rates\*

Datacenter – Phoenix Main	_____	\$ _____
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Datacenter – Tucson	_____	\$ _____
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Datacenter – East Valley	_____	\$ _____
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\*Paid per month